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EXPRESS MAIL CERTIFICATE

Date 12/26/01 Label No. EL767721193-US

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Customer No.:



07278

PATENT TRADEMARK OFFICE

Docket No.: 3166/1G947

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Andrei MIKHEEV

Serial No.: 09/823,284

Confirmation No.: 6790

Filed: March 30, 2001

For: METHOD AND SYSTEM FOR GATHERING, ORGANIZING, AND  
DISPLAYING INFORMATION FROM DATA SEARCHES

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Group 2100

INFORMATION DISCLOSURE STATEMENT

U.S. Patent and Trademark Office  
P.O. Box 2327  
Arlington, VA 22202

Sir:

In order to comply with 37 CFR 1.97 and 1.98, attached hereto is a copy of Form PTO-1449 and copies of the documents listed thereon.

In accordance with MPEP Sections 609 and 707.05(b), it is requested that each document cited (including any cited in applicant's specification which is

not repeated on the attached Form PTO-1449) be given thorough consideration and that it be cited of record in the prosecution history of the present application by initialing Form PTO-1449 next to the document. Such initialing is requested even if the Examiner does not consider a cited document to be sufficiently pertinent to use in a rejection, or otherwise does not consider it to be prior art for any reason, or even if the Examiner does not believe that the guidelines for citation have been fully complied with. This is requested so that each document becomes listed on the face of the patent issuing on the present application.

This submission is filed before the mailing of a first Office Action on the merits. This submission contains copies of references provided by the invention Andrei Mikheev. For further details, please refer to the accompanying "Statement Pursuant to 37 C.F.R. §1.56" and attachments thereto.


The present Information Disclosure Statement is being submitted in compliance with 37 CFR 1.56, but the citation of such document is not to be construed as an admission that such document is necessarily relevant or prior art. No representation is intended that the cited documents represent the results of a complete search, and it is anticipated that the Examiner, in the normal course of examination, will make an independent search and will determine the best prior art consistent with 37 CFR 1.104(a) and 1.106(b) and, in the course of each search, will review for relevance every document cited on the attached form even if not initialed.

It is believed that no fee is due. However, if the Commissioner determines that a fee is due, the Commissioner is hereby authorized to charge the above deposit account for any deficiency.

Early and favorable consideration is earnestly solicited.

Respectfully submitted,

Dated: December 26, 2001



Chanah Brenenson  
Registration No. 47,442  
Attorney for Applicant(s)

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FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE PATENT &amp; TRADEMARK OFFICE

SHEET 1 OF 2  
(REV. 7-80)**LIST OF REFERENCES CITED BY APPLICANT**

(Use Several Sheets if Necessary)

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APPLICANT: Andrei MIKHEEVSERIAL NO: 09/823,284  
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**U.S. PATENT DOCUMENTS**

<u>*EXAMINER INITIALS</u>	<u>DOCUMENT NUMBER</u>	<u>DATE</u>	<u>NAME</u>	<u>CLASS</u>	<u>SUBCLASS</u>	<u>FILING DATE</u>
	1. 5,963,965	10/05/1999	Vogel	707	501	02/18/1997

**FOREIGN PATENT DOCUMENTS**

<u>*EXAMINER INITIALS</u>	<u>DOCUMENT NUMBER</u>	<u>DATE</u>	<u>COUNTRY</u>	<u>CLASS</u>	<u>SUBCLASS</u>	<u>TRANSLATION YES NO</u>
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**OTHER REFERENCES****(INCLUDING AUTHOR, TITLE DATE, PERTINENT PAGES, ETC.)**\*EXAMINER  
INITIALS

2. Heid, U. et al. "Term extraction with standard tools from corpus exploration. Experience from German" TKE '96 Fourth International Congress on Terminology and Knowledge Engineering, Wein, August 26-30, 1996
3. Bourigault, D. and Jacquemin, C. "Term Extraction + Term Clustering: Integrated Platform for Computer-Aided Terminology"
4. Anick, P.G. "The Automatic Construction of Faceted Terminology Feedback for Context Based Information Retrieval" Chapter 2.

**LIST OF REFERENCES CITED BY APPLICANT**

(Use Several Sheets if Necessary)

DOCKET NO.: 3166/1G947  
APPLICANT: Andrei MIKHEEVSERIAL NO: 09/823,284  
FILING DATE: March 30, 2001  
CONFIRMATION NO: 6790**\*EXAMINER  
INITIALS**

5. Fowler, R. H. et al "Information Navigator: an Information System Using Associative Networks for Display and Retrieval" Report NAG9-551, No. 92-1 Department of Computer Science University of Texas - Pan American. [http://www.cs.panam.edu/info\\_vis/inf\\_nav/info\\_nav\\_tr\\_92.html](http://www.cs.panam.edu/info_vis/inf_nav/info_nav_tr_92.html).
6. Mani, I. and Bloedorn, E. "Summarizing Similarities and Differences among Related Documents" Information Retrieval, 1 pp 35-67 (1999)
7. Bruza, P.D. and Dennis S. "Query ReFormulation in the Internet: Empirical Data and the Hyperindex Search Engine" January 24, 1997
8. InXight, "Inxight Murax Server and Software Development Kit: Steering Users towards the Right Information" An Inxight White Paper, p 1-5.
9. SemioMap, "Finding Your Way Past Information Overload" Semio Corporation, 2001. [Http://www.semio.com/products/semiomap/howdoesitwork.html](http://www.semio.com/products/semiomap/howdoesitwork.html).



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D. Perez A. Perez  
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STATEMENT PURSUANT TO 37 C.F.R. §1.56

Hon. Commissioner of  
Patents and Trademarks  
Washington, DC 20231

Sir:

In order to comply with the duty of disclosure pursuant to 37 CFR  
§1.56, the attached documents entitled "Prior Art Assessment" and "List of Prior  
Art Sources" are being provided to the Patent Office. The circumstances in which  
the undersigned came into possession of these documents is set forth below, upon  
information and belief:

The inventor, Andrei Mikheev, was employed by Harlequin Limited at the time he developed the invention claimed in the present application. In or about March 2000, Mr. Mikheev cooperated and assisted in preparing the provisional patent application from which the present application claims priority. In or about April 2000, Harlequin Limited sold part of its business to Xanalys Limited and Mr. Mikheev's employment was transferred to Xanalys Limited as part of the sale. In or about May 2000, Mr. Mikheev resigned from this employment at Xanalys Limited. Thereafter, according to his website, Mr. Mikheev co-founded Infologistics, a company that specializes in knowledge management and text mining. When the present non-provisional application was filed, Mr. Mikheev was no longer cooperative.<sup>1</sup>

In or about March 2001, the undersigned, as counsel for Xanalys Incorporated,<sup>2</sup> the assignee and applicants in this application, approached Mr. Mikheev for his signature on the non-provisional application. After not responding for some time, Mr. Mikheev finally responded with a letter dated August 30, 2001 in which he asserted that he did not believe the claimed invention was patentable.<sup>3</sup>

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<sup>1</sup> Additional details may be found in the Petition for filing under 37 C.F.R. §1.47(b) submitted to the U.S. Patent & Trademark Office on September 28, 2001.

<sup>2</sup> Xanalys Incorporated is a U.S. subsidiary of Xanalys Limited, a U.K. company.

<sup>3</sup> Mr. Mikheev also provided, with his August 30, 2001 letter, an assignment of his rights to Xanalys Incorporated.

His August letter was provided to the U.S. Patent & Trademark Office on September 19, 2001 as an attachment to a Letter Pursuant To Rule 37 C.F.R. §1.56. In the August 30, 2001 letter, Mr. Mikheev listed four products that he believes to be prior art. Counsel for the assignee/applicant asked Mr. Mikheev to supply descriptions of these products in order to determine whether they are prior art.

In response to counsel's request, Mr. Mikheev provided the attached "Prior Art Assessment," "List of Prior Art Sources" and a selection of references. Copies of those references are being provided to the U.S. Patent & Trademark Office as attachments to the accompanying Information Disclosure Statement.

We note two important facts about the documents supplied by Mr. Mikheev: (1) Mr. Mikheev did not provide copies of all references that he cited nor full and proper citations for the references that were provided; and (2) Mr. Mikheev has demonstrated a conflict of interest between his obligations to his former employer Xanalys Limited, and his current employment.

With regard to the references, the "Prior Art Assessment" document includes a reference list. However, some of the references that Mr. Mikheev provided in full copy, are not on the list but rather alternates, as indicated in the "List of Prior Art Sources" document. For some of the references, Mr. Mikheev summarily decided not to provide copies. The status of documents listed in the





reference list in the "Prior Art Assessment" document is summarized in the following table:

References listed in "Prior Art Assessment" document	Status of document
1. Dagan, I. and Church, K. 1994 "Termite: Identifying and translating technical terminology". Proceedings of the Fourth Conference on Applied Natural Language Processing, p. 34-40.	No copy of document provided by Mr. Mikheev.
2. Heid, U. Jauss, S., Kruger, K. and Hohmann, A. 1996 "Term extraction with standard tools from corpus exploration. Experience from German". In TKE '96: Terminology and Knowledge Engineering, 139-150, Berlin: Indeks Verlag.	Copy provided by Mr. Mikheev and included in IDS.
3. Bourigault, D. 1994 LEXTER, un Logiciel d' Extraction de TERminologie. [sic] Aplication a l'acquisition des connaissances a partir de texts. Ph.D Thesis. Paris: Ecole des Hautes Etudes in Sciences Sociales.	Alternate document provided by Mr. Mikheev and included in IDS.
4. Justeson, J. and Katz, S. 1995 "Technical terminology: some linguistics properties and an algorithm for identification in text". Natural Language Engineering, 1 1:9-27.	No copy provided by Mr. Mikheev.
5. Anick, P.G. Automatic Construction of Faceted Terminology Feedback for Context Based Information Retrieval. Ph.D. Thesis, Brandeis University.	Alternate document provided by Mr. Mikheev and included in IDS.
6. Richard H. Fowler, Bradley A. Wilson, and Wendy A.L. Fowler 1992 "Information Navigator: An information system using associative networks for display and retrieval" Report NAG9-551, No. 92-1 Department of Computer Science University of Texas - Pan American (available at <a href="http://www.cs.panam.edu/info_vis/inf_nav/info_nav_tr_92.html">http://www.cs.panam.edu/info_vis/inf_nav/info_nav_tr_92.html</a> )	Copy provided by Mr. Mikheev and included in IDS.
7. Crouch, D.B., Crouch, C.J., & Andreas, G. (1989). The use of cluster hierarchies in hypertext information retrieval. Hypertext '89 Proceedings, NY: ACM Press. 225-237.	No copy of document provided by Mr. Mikheev.
8. U.S. 5,963,965, Vogel, C. 1999 "Text Processing and Retrieval System and Method".	Copy provided by Mr. Mikheev and included in IDS.
9. Mani, I & Bloedorn, E (1997) Summarizing similarities and differences among related documents. In proceedings Fourteenth National Conference on Artificial Intelligence, p. 622-628, AAAI Press, Menlo Part, CA.	Copy provided by Mr. Mikheev and included in IDS.



References listed in "Prior Art Assessment" document	Status of document
10. Bruza, P.D. and S. Denis 1997 <<Query ReFormulation in the Internet: Empirical Data and the Hyperindex Search Engine.>>	Copy provided by Mr. Mikheev and included in IDS.

We also note that in his "assessment," Mr. Mikheev refers to the following products for which he did not provide documentation, except, Inxight and Semio, which are included in the accompanying IDS.

Products and companies	References for information
Vivisimo (search engine)	<a href="http://www.vivisimo.com">www.vivisimo.com</a>
Murax by Inxight Inc.(search engine)	<a href="http://www.trymurax.com">www.trymurax.com</a> <a href="http://www.inxight.com">www.inxight.com</a>
Excite (search engine)	
Northern Lights (search engine)	<a href="http://www.nlsearch.com">www.nlsearch.com</a>
SemioMap from Semio Corp.	<a href="http://www.semio.com">www.semio.com</a>
ThemeScape from Aurigin Systems (formerly Cartia Inc.)	<a href="http://www.aurigin.com">www.aurigin.com</a>
HypebolicTree [sic] from Inxight	<a href="http://www.inxight.com">www.inxight.com</a>
Umap from Trivium Ltd.	<a href="http://www.umap.com">www.umap.com</a> <a href="http://www.trivium.fr">www.trivium.fr</a>
Information Navigator/Concept Map	See Fowler reference

In his current "assessment" Mr. Mikheev only refers to two of the four products that he originally referred to in his August 30, 2001 letter. The two referenced again are Semio Map by Semio Corp and HypebolicTrees [sic] by Inxight. The two products that were not referenced in the August 30, 2001 letter, were Information Map by Cartia Corp. and an unnamed product by Trac.

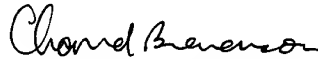
The undersigned, counsel for assignee and applicant of this application, will continue to try to obtain more information about the references cited by Mr. Mikheev. However, presently counsel has no additional knowledge or information about these references.

It is believed that no fee is due. However, if the Commissioner determines that a fee is due, the Commissioner is hereby authorized to charge the above deposit account for any deficiency.

Early and favorable consideration is earnestly solicited.

Respectfully submitted,

Dated: December 26, 2001



Chanah Brenenson  
Registration No. 47,442  
Attorney for Applicant(s)

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